

FORM PTO-1449
(Rev. 2-32)

U.S. Department of Commerce
Patent and Trademark Office

Atty. Docket No.

Serial No.

04-105-A
(400/1149)

10/824,036

INFORMATION DISCLOSURE
STATEMENT BY APPLICANT

(Use several sheets if necessary)

Applicant:

James McSwiggen

Filing Date:

April 14, 2004

Group:

11035

U.S. PATENT APPLICATION DOCUMENTS

Examiner Initial		Document Number	Filing Date	Name	Class	Subclass	Publication Date if Appropriate
AMB	*	09/301,511	04/28/99	Beigleman et al.			
	*	09/740,332	12/18/00	Blatt et al.			
	*	09/800,594	03/06/01	Usman and McSwiggen			
	*	10/151,116	05/17/02	Matulic-Adamic et al.			
	*	10/201,394	08/13/01	Vargeese et al.			
	*	10/417,012	04/16/03	McSwiggen et al.			
	*	10/422,704	04/24/03	McSwiggen et al.			
	*	10/427,160	04/30/03	Vargeese et al.			
	*	10/444,853	05/23/03	McSwiggen et al.			
	*	10/652,791	08/29/03	McSwiggen et al.			
	*	10/693,059	10/23/03	McSwiggen et al.			
	*	10/720,448	11/24/03	McSwiggen et al.			
	*	10/727,780	12/03/03	Vaish et al.			
	*	10/757,803	01/14/04	McSwiggen et al.			
	*	10/783,128	02/20/04	McSwiggen et al.			
	*	60/082,404	04/20/98	Thompson et al.			

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use several sheets if necessary)		Applicant: James McSwiggen	
		Filing Date: April 14, 2004	Group: 1635

ATB	*	60/292,217	05/18/01	Adamic et al.			
	*	60/306,883	07/20/01	Vargeese et al.			
	*	60/311,865	08/13/01	Vargeese et al.			
	*	60/358,580	02/20/02	Beigelman et al.			
	*	60/362,016	03/06/02	Matulic-Adamic et al.			
	*	60/363,124	03/11/02	Beigelman et al.			
	*	60/386,782	06/06/02	Beigelman et al.			
	*	60/402,996	08/13/02	Usman et al.			
	*	60/406,784	08/29/02	Beigelman et al.			
	*	60/408,378	09/05/02	Beigelman et al.			
	*	60/409,293	09/09/02	Beigelman et al.			
	*	60/440,129	01/15/03	Beigelman et al.			
	*	60/543,480	02/10/04	Jadhavi et al.			
	*	US 2001/0007666	01/05/99	Hoffman et al.			07/12/01
	*	US 2002/0130430	12/29/00	Caster			09/19/02

U.S. PATENT DOCUMENTS

Examiner Initial	Document Number	Date	Name	Class	Subclass	Filing Date if Appropriate
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4987,071	*	01/22/91	Cech et al.			
5,108,921	*	04/28/92	Low et al.			
5,138,045	*	08/11/92	Cook et al.			
5,214,136	*	05/25/93	Lin et al.			
5,334,711	*	08/02/94	Sproat			
5,416,016	*	05/16/95	Low et al.			
5,589,332	*	12/31/96	Shih et al.			
5,624,803	*	04/29/97	Noonberg et al.			
5,627,053	*	05/06/97	Usman et al.			
5,631,359	*	05/20/97	Chowrira et al.			
5,631,360	*	05/20/97	Usman et al.			
5,633,133	*	05/27/97	Long et al.			
5,670,633	*	09/23/97	Cook et al.			
5,672,695	*	09/30/97	Eckstein et al.			
5,716,824	*	02/10/98	Beigelman et al.			
5,741,679	*	04/21/98	George et al.			
5,792,847	*	08/11/98	Buhr et al.			
5,804,683	*	09/08/98	Usman et al.			
5,814,620	*	09/29/98	Robinson et al.			

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QHB	*	5,831,071	11/03/98	Usman et al.			
	*	5,834,186	11/10/98	George et al.			
	*	5,849,902	12/15/98	Arrow et al.			
	*	5,854,038	12/29/98	Sullenger et al.			
	*	5,871,914	02/16/99	Nathan et al.			
	*	5,889,136	03/30/99	Scaringe et al.			
	*	5,898,031	04/27/99	Crooke			
	*	5,902,880	05/11/99	Thompson et al.			
	*	5,989,912	11/23/99	Arrow et al.			
	*	5,998,203	12/07/99	Adamic et al.			
	*	6,001,311	12/14/99	Brennan			
	*	6,005,087	12/21/99	Cook et al.			
	*	6,008,400	12/28/99	Scaringe et al.			
	*	6,054,576	04/25/00	Bellon et al.			
	*	6,107,094	08/22/00	Crooke			
	*	6,111,086	08/29/00	Scaringe et al.			
	*	6,117,657	09/12/00	Usman et al.			
	*	6,146,886	06/12/01	Thompson et al.			
✓	*	6,153,737	11/28/00	Manoharan et al.			

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AMB	*	6,162,909	12/19/00	Bellon et al.			
	*	6,168,778	01/02/01	Janjic et al.			
	*	6,180,613	01/30/01	Kaplitt et al.			
	*	6,235,310	05/22/01	Wang et al.			
	*	6,235,886	05/22/01	Manoharan et al.			
	*	6,248,878	06/19/01	Adamic et al.			
	*	6,300,074	10/09/01	Gold			
	*	6,303,773	10/16/01	Bellon et al.			
	*	6,335,434	01/01/02	Guzaev et al.			
	*	6,353,098	03/05/02	Usman et al.			
	*	6,362,323	03/26/02	Usman et al.			
	*	6,395,492	05/28/02	Manoharan et al.			
	*	6,395,713	05/28/02	Beigelman et al.			
	*	6,437,117	08/20/02	Usman et al.			
	*	6,447,796	09/10/02	Vook et al.			
	*	6,469,158	10/22/02	Usman et al.			
	*	6,476,205	11/05/02	Buhr et al.			
	*	6,506,559	06/14/03	Fire et al.			
	*	6,528,631	03/04/03	Cook et al.			

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A+B	•	6,586,524	07/01/03	Sagara			
A+B	•	6,617,156	09/09/03	Doucette-Stamm et al.			

FOREIGN PATENT DOCUMENTS

		Document Number	Date	Country	Class	Subclass	Translation	
							Yes	No
A+B	•	2001240375 (Old Application No. 40375/01)	03/16/01	AU (Graham et al.)				
	•	2,359,180	08/03/00	CA (Kreutzer et al.)				
	•	0 360 257	02/28/90	EP (Hampel et al.)				
	•	1144623 B1	01/29/02	EP (Kreutzer et al.)				
	•	88/09810	12/15/88	WO (Tullis et al.)				
	•	89/02439	03/23/89	WO (Arnold et al.)				
	•	90/12096	10/18/90	WO (Low et al.)				
	•	90/14090	11/29/90	WO (Gillespie et al.)				
	•	91/03162	03/21/91	WO (Rossi et al.)				
	•	92/07065	04/30/92	WO (Eckstein et al.)				
	•	93/15187	08/05/93	WO (Usman et al.)				

EXAMINER <i>A+B</i>	DATE CONSIDERED 11/9/05
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QMS	*	93/23569	11/25/93	WO (Draper et al.)				
	*	94/01550	01/20/94	WO (Agrawal et al.)				
	*	94/02595	02/03/94	WO (Sullivan et al.)				
	*	95/06731	03/09/95	WO (Usman et al.)				
	*	95/11304	04/27/95	WO (Usman et al.)				
	*	95/11910	05/04/95	WO (Dudycz et al.)				
	*	96/10390	04/11/96	WO (Ansell et al.)				
	*	96/10391	04/11/96	WO (Choi et al.)				
	*	96/10392	04/11/96	WO (Holland et al.)				
	*	96/18736	06/20/96	WO (Beigelman et al.)				
	*	96/22689	08/01/96	WO (Pyle et al.)				
	*	97/26270	07/24/97	WO (Beigelman et al.)				
	*	98/27104	06/25/98	WO (Breaker et al.)				
	*	98/28317	07/02/98	WO (Matulic-Adamic et al.)				
	*	98/43993	10/08/98	WO (Breaker et al.)				
	*	98/58058	12/23/98	WO (Ludwig & Sproat)				
	*	98/13526	04/02/98	WO (Woolf et al.)				
↓	*	99/04819	02/04/99	WO (Klimuk)				
	*	99/05094	02/04/99	WO (Beigelman et al.)				

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<i>AMB</i>	*	99/07409	02/18/99	WO (Deschamps de Paillette et al.)				
	*	99/14226	03/25/99	WO (Wengel et al.)				
	*	99/16871	04/08/99	WO (Eckstein et al.)				
	*	99/17120	04/08/99	WO (Davis and Bishop)				
	*	99/29842	06/17/99	WO (Sullenger et al.)				
	*	99/31262	06/24/99	WO (Barry et al.)				
	*	99/32619	07/01/99	WO (Fire et al.)				
	*	99/49029	09/30/99	WO (Graham et al.)				
	*	99/53050	10/21/99	WO (Waterhouse et al.)				
	*	99/54459	10/28/99	WO (Thompson et al.)				
	*	99/55857	11/04/99	WO (Beigelman et al.)				
	*	99/61631	12/02/99	WO (Heifetz et al.)				
	*	99/66063	12/23/99	WO (Manoharan et al.)				
	*	00/01846	01/13/00	WO (Plaetinck et al.)				
	*	00/17369	03/30/00	WO (Gurney et al.)				
	*	00/24931	05/04/00	WO (Nathan and Ellington)				
<i>↓</i>	*	00/26226	05/11/00	WO (Breaker et al.)				
	*	00/44895	08/03/00	WO (Kreutzer et al.)				

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CHB	*	00/44914	08/03/00	WO (Li et al.)				
	*	00/49035	08/24/00	WO (Sheen)				
	*	00/53722	09/14/00	WO (O'Hare and Normand)				
	*	00/63364	10/26/00	WO (Pachuk et al.)				
	*	00/66604	11/09/00	WO (Wengel et al.)				
	*	01/04313	01/18/01	WO (Satishchandran et al.)				
	*	01/29058	04/26/01	WO (Mello et al.)				
	*	01/36646	05/25/01	WO (Zernicka-Goetz et al.)				
	*	01/38551	05/31/01	WO (Grossniklaus)				
	*	01/42443	06/14/01	WO (Churikov et al.)				
	*	01/49844	07/12/01	WO (Driscoll et al.)				
	*	01/53475	07/26/01	WO (Cogoni et al.)				
	*	01/68836	09/20/01	WO (Beach et al.)				
	*	01/70944	09/27/01	WO (Honer et al.)				
	*	01/70949	09/27/01	WO (Graham et al.)				
	*	01/72774	10/04/01	WO (Deak et al.)				
	*	01/75164	10/11/01	WO (Tuschi et al.)				
	*	01/92513	12/06/01	WO (Arndt et al.)				
	*	01/96584	12/20/01	WO (Mushegian et al.)				

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AMB	*	02/15876	02/28/02	WO (Beigelman et al.)				
	*	02/22636	03/21/02	WO (Bennett et al.)				
	*	02/38805	05/16/02	WO (Echeverri et al.)				
	*	02/44321	06/06/02	WO (Tuschi et al.)				
	*	02/55692	07/18/02	WO (Kreutzer et al.)				
	*	02/55693	07/18/02	WO (Kreutzer et al.)				
	*	02/094185 (PCT/US02/15876)	11/28/02	WO (Beigelman et al.)				
	*	03/024420	03/27/03	WO (Ahlheim et al.)				
	*	03/046185	06/05/03	WO (Wang et al.)				
	*	03/047518	06/12/03	WO (Wang et al.)				
	*	03/064625	08/07/03	WO (Woolf et al.)				
	*	03/064626	08/07/03	WO (Woolf et al.)				
	*	03/070918 (PCT/US03/05346)	08/28/03	WO (McSwiggen et al.)				
	*	03/074654 (PCT/US03/05028)	09/12/03	WO (McSwiggen et al.)				
	*	04/013280	02/12/04	WO (Davidson et al.)				

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc).


AMB	*	Abramovitz et al., "Catalytic Role of 2'-Hydroxyl Groups Within a Group II Intron Active Site," Science 271:1410-1413 (1996)
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AMB		* Adah et al., "Chemistry and Biochemistry of 2',5'-Oligoadenylate-Based Antisense Strategy," <i>Current Medicinal Chemistry</i> , 8, 1189-1212 (2001)
		* Akhtar and Juliano, "Cellular Uptake and Intracellular Fate of AntiSense Oligonucleotides," <i>Trends Cell Biol.</i> 2:139-144 (1992)
		* Aldrian-Herrada et al., "A peptide nucleic acid (PNA) is more rapidly internalized in cultured neurons when coupled to a <i>retro-inverso</i> delivery peptide. The antisense activity depresses the target mRNA and protein in magnocellular oxytocin neurons," <i>Nucleic Acids Research</i> 26:4910-4916 (1998)
		* Allshire, "RNAi and Heterochromatin - A Hushed-up Affair," <i>Science</i> 297:1818-1819 (2002)
		* Andrews and Faller, "A rapid micropreparation technique for extraction of DNA-binding proteins from limiting numbers of mammalian cells," <i>Nucleic Acids Research</i> 19:2499 (1991)
		* Antopolsky et al., "Peptide-Oligonucleotide Phosphorothioate Conjugates with Membrane Translocation and Nuclear Localization Properties," <i>Bioconjugate Chem.</i> 10:598-606 (1999)
		* Arap et al., "Cancer Treatment by Targeted Drug Delivery to Tumor Vasculature in a Mouse Model," <i>Science</i> 279:377-380 (1998)
		* Baenziger and Fiete, "Galactose and N-Acetylgalactosamine-Specific Endocytosis of Glycopeptides by Isolated Rat Hepatocytes," <i>Cell</i> 22:611-620 (1980)
		* Bahramian et al., "Transcriptional and Posttranscriptional Silencing of Rodent $\alpha 1(I)$ Collagen by a Homologous Transcriptionally Self-Silenced Transgene," <i>Molecular and Cellular Biology</i> , 274-283 (1999)
↓		* Banerjee and Turner, "The Time Dependence of Chemical Modification Reveals Slow Steps in the Folding of a Group I Ribozyme," <i>Biochemistry</i> 34:6504-6512 (1995)

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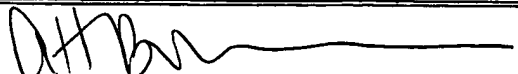
OHB		* Bannai et al., "Effect of Injection of Antisense of Oligodeoxynucleotides of GAD Isozymes into Rat Ventromedial Hypothalamus on Food Intake and Locomotor Activity," <u>Brain Research</u> 784:305-315 (1998)
		* Bannai et al., "Water-absorbent Polymer as a Carrier for a Discrete Deposit of Antisense Oligodeoxynucleotides in the Central Nervous System," <u>Brain Research Protocols</u> 3:83-87 (1998)
		* Bartel and Szostak, "Isolation of New Ribozymes from a Large Pool of Random Sequences," <u>Science</u> 261:1411-1418 (1993)
		* Basi et al., "Antagonistic Effects of β -Site Amyloid Precursor Protein-cleaving Enzymes 1 and 2 on β -Amyloid Peptide Production in Cells*," <u>The Journal of Biological Chemistry</u> , 278, 31512-31520 (2003)
		* Bass, "Double-Stranded RNA as a Template for Gene Silencing," <u>Cell</u> , 101, 235-238 (2000)
		* Bass, "The short answer," <u>Nature</u> 411:428-429 (2001)
		* Beaucage and Iyer, "The Functionalization of Oligonucleotides Via Phosphoramidite Derivatives," <u>Tetrahedron</u> 49:1925-1963 (1993)
		* Beaudry and Joyce, "Directed Evolution of an RNA Enzyme," <u>Science</u> 257:635-641 (1992)
		* Beigelman et al., "Chemical Modification of Hammerhead Ribozymes," <u>The Journal of Biological Chemistry</u> 270:25702-25708 (1995)
		* Bellon et al., "Amino-Linked Ribozymes: Post-Synthetic Conjugation of Half-Ribozymes," <u>Nucleosides & Nucleotides</u> 16:951-954 (1997)
		* Bellon et al., "Post-synthetically Ligated Ribozymes: An Alternative Approach to Iterative Solid Phase Synthesis," <u>Bioconjugate Chem.</u> 8:204-212 (1997)
✓		* Bernstein et al., "Role for a Bidentate Ribonuclease in the Initiation Step of RNA Interference," <u>Nature</u> 409:363-366 (2001)

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AHB	*	Berzal-Herranz et al., "Essential nucleotide sequences and secondary structure elements of the hairpin ribozyme," <i>EBMO J.</i> 12:2567-2574 (1993)
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FORM PTO-1449
(Rev. 2-32)

U.S. Department of Commerce
Patent and Trademark Office

Atty. Docket No.

04-105-A
(400/1149)

Serial No.

10/824,036

INFORMATION DISCLOSURE
STATEMENT BY APPLICANT

(Use several sheets if necessary)

Applicant:

James McSwiggen

Filing Date:

April 14, 2004

Group:

11055

AMB	*	Breaker, "Catalytic DNA: in training and seeking employment," <i>Nature Biotechnology</i> 17:422-423 (1999)
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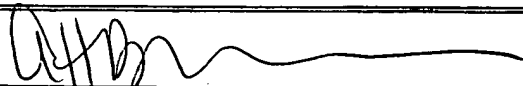
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		James McSwiggen	
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		April 14, 2004	11035

CHTB		* Chaloin et al., "Design of Carrier Peptide-Oligonucleotide Conjugates With Rapid Membrane Translocation and Nuclear Localization Properties," <i>BBRC</i> 243:601-608 (1998)
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AMB	*	Connolly et al., "Binding and Endocytosis of Cluster Glycosides by Rabbit Hepatocytes," <i>The Journ. of Biol. Chem.</i> 257:939-945 (1982)
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AHB		* Dryden et al., "The lack of specificity of neuropeptide Y (NPY) antisense oligodeoxynucleotides administered intracerebroventricularly in inhibiting food intake and NPY gene expression in the rat hypothalamus," <i>Journal of Endocrinology</i> 157:169-175 (1998)
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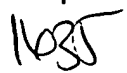
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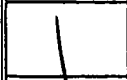
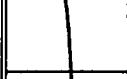
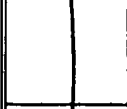


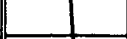




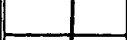
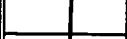

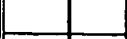


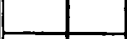
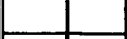
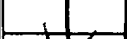

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use several sheets if necessary)		Applicant: James McSwiggen	
		Filing Date: April 14, 2004	Group: 11635



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
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			Applicant: James McSwiggen	
			Filing Date: April 14, 2004	Group: 1635

**INFORMATION DISCLOSURE
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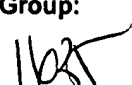
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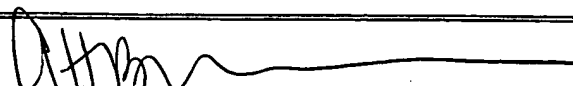
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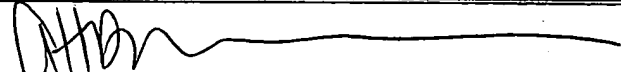
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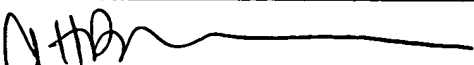
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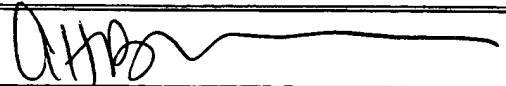
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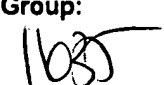
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EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

FORM PTO-1449 (Rev. 2-32)	U.S. Department of Commerce Patent and Trademark Office	Atty. Docket No. 04-105-A (400/1149)	Serial No. 10/824,036
INFORMATION DISCLOSURE STATEMENT BY APPLICANT (Use several sheets if necessary)		Applicant: James McSwiggen	
		Filing Date: April 14, 2004	Group: 1635

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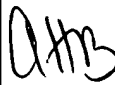
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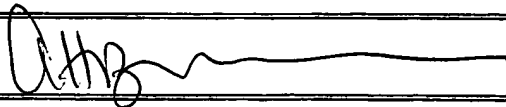
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		Filing Date: April 14, 2004	Group: 1635

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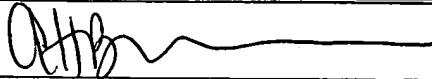
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		Filing Date: April 14, 2004	Group: 16451635

U.S. PATENT APPLICATION DOCUMENTS

Examiner Initial		Document Number	Filing Date	Name	Class	Subclass	Publication Date if Appropriate
AMB	*	US 2003/0190635	10/2003	McSwiggen et al.			
	*	US 2003/0206887	11/2003	Morrissey et al.			


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							Yes	No
AMB	*	1325955	07/09/03	EP (Klippel-Giese et al.)				
	*	08208687	08/1996	JP (Hotoda et al.)				
	*	95/04142	02/09/95	WO (Robinson)				
	*	01/097850	12/27/01	WO (Siemeister et al.)				
	*	02/07747	01/31/02	WO (King)				
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	*	03/070910	08/28/03	WO (McSwiggen et al.)				

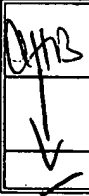
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		Filing Date: April 14, 2004	Group: 1645 11635

	*	03/080638	10/02/03	WO (Lacasse et al.)				
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			Applicant: James McSwiggen	
			Filing Date: April 14, 2004	Group: 1646 1635


**THIRD SUPPLEMENTAL INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use several sheets if necessary)

FOREIGN PATENT DOCUMENTS

		Document Number	Date	Country	Class	Subclass	Translation	
							Yes	No
OHPB ↓	*	03/070887	08/28/03	WO (McSwiggen et al.)				
	*	03/070896	08/28/03	WO (McSwiggen et al.)				
	*	03/074654	09/12/03	WO (McSwiggen et al.)				

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, Etc).

OHPB ↓	*	International Search Report for PCT/US2004/027403 mailed July 12, 2005
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